

**FOR NON-NASD MEMBERS ONLY**

**AFFIDAVIT**

State of \_\_\_\_\_

County of \_\_\_\_\_

I, \_\_\_\_\_, being duly sworn, upon oath depose and say:

1. I \_\_\_\_\_ reside \_\_\_\_\_ at \_\_\_\_\_

\_\_\_\_\_. My telephone number is \_\_\_\_\_.

2. I am an applicant for registration with the Arizona Corporation Commission as a securities salesman. I will

be \_\_\_\_\_ employed \_\_\_\_\_ by \_\_\_\_\_.

3. In connection with the aforementioned application I state that I have never been arrested, charged, indicted, or convicted of any crime other than a minor traffic offense, except as set forth below: (If none, so state.)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. I have never been charged by the SEC, State Securities Commission, the NASD or any other regulatory body with violation of their Securities Act or Rules and Regulations. (List any applicable incident on separate sheet and attach hereto.)

5. Applicant realizes that this affidavit is an official filing and making any false statement is a felony.

FURTHER, AFFIANT SAYETH NOT.

\_\_\_\_\_  
(Name of Firm)

\_\_\_\_\_  
(Signature of Applicant)

Attest: \_\_\_\_\_  
(Signature of Officer & Title)

SUBSCRIBED AND SWORN TO before me this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

\_\_\_\_\_  
(Notary Public)

My Commission Expires \_\_\_\_\_

NOTARY SEAL